

28RC

Receipt

Docket: 4024-4021

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Greg Dudoff and John Trezza

Title: OPTO-ELECTRONIC DEVICE INTEGRATION

Serial No.: 09/897,158 **Group Art Unit:** 2872

Filing Date: June 29, 2001 **Examiner:** To Be Assigned

CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

Commissioner Of Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

Sir:

I hereby certify that the attached:

1. Request for a Corrected Filing Receipt (in duplicate);
2. **Copy** of Filing Receipt;
3. **Copy** of fee calculation sheet; and
4. Return Receipt Postcard

(along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner of Patents, Office of Initial Patent Examination, Customer Service Center, Washington, DC 20231

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: September 5, 2001

By:

Richard Straussman**Mailing Address:**

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154-0053
(212) 758-4800/(212) 751-6849 (Fax)

RECEIVED
APR - 9 2002
TC 2800 MAIL ROOM



DOCKET NO. 4024-4021

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Greg Dudoff and John Trezza
Title: OPTO-ELECTRONIC DEVICE INTEGRATION
Serial No.: 09/897,158 **Group Art Unit:** 2872
Filing Date: June 29, 2001 **Examiner:** To Be Assigned

COMMISSIONER OF PATENTS
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

RECEIVED
APR - 9 2002
TC 2800 MAIL ROOM

The official Filing Receipt, copy attached, was received on August 27, 2001. The following corrections are requested:

Under Total Claims and Independent claims, the official Filing Receipt lists 34 and 2 respectively. As filed, the application contained 34 total claims of which 19 were independent. A copy of the fee calculation sheet for this application is attached to evidence the correct count and fee payment. Please correct the Filing Receipt to indicate **34 total claims** and **19 independent claims**.

In addition, small entity status was claimed when the application was filed and indicated in the enclosed copy of the fee calculation sheet. Please correct the Filing Receipt to show this.

Applicants respectfully submit that the above-identified errors did not result from any omission on the part of the applicants. Accordingly, no fee is believed to be due. Should any fee(s) be required for the filing of this Communication, however, the Commissioner is hereby authorized to charge Deposit Account No. 13-4500, Order No. 4024-4021.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: September 5, 2001

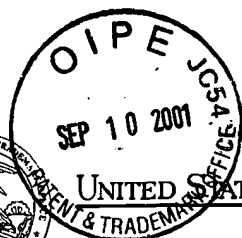
By:



Richard Straussman
Reg. No. 39,847

Mailing Address:

MORGAN & FINNEGAN
345 Park Avenue
New York, NY 10154
(212) 758-4800/(212) 751-6849 Facsimile



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/897,158	06/29/2001	2872	1232	4024-4021	25	34	2

CONFIRMATION NO. 1472

FILING RECEIPT



OC000000006454986

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053

RECEIVED
DOCKET DEPT.
AUG 27 2001
MORGAN & FINNEGAN LLP.

Date Mailed: 08/21/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Greg Dudoff, Amherst, NH;
John Trezza, Nashua, NH;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/21/2001

Projected Publication Date: 01/02/2003

Non-Publication Request: No

Early Publication Request: No

Title

Opto-electronic device integration

Preliminary Class

359

RECEIVED
APR - 9 2002
1C 2800 MAIL ROOM

CASE 4024-4021 ATTY RS
INFORMATION DISCLOSURE
STATEMENT Sept. 29, 2001
FOREIGN FILING March 29, 2002
CONVENTION DATE EXPIRES June 29, 2002

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



27123

PATENT TRADEMARK OFFICE

Docket No. 4024-4021

Express Mail No. EF099150122US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
UTILITY APPLICATION AND FEE TRANSMITTAL §(1.53(b))

Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

- (1) **Greg Dudoff, 28 Standish Way, Amherst, New Hampshire 03031; and
John Trezza, 12 White Oak Drive, Nashua, New Hampshire 03063**

☐ Additional inventors are listed on a separate sheet

For: **OPTO-ELECTRONIC DEVICE INTEGRATION**

Enclosed Are:

- 32 page(s) of specification**
1 page(s) of Abstract
4 page(s) of claims
25 sheets of ☒ Formal Drawings, FIGS. 1-15, 16A-16D, 17-19, 20A, 20B and 21-23.
7 page(s) of Declaration and Power of Attorney

- ☐ Unsigned
☒ Newly Executed
☐ Copy from prior application
☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

☐ **REQUEST AND CERTIFICATION UNDER 35 U.S.C. §122(b)(2)(B)(i) (form PTO/SB/35)**

As indicated on the attached Request and Certification, Applicant(s) certify that the invention disclosed in the attached application HAS NOT and WILL NOT be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. Applicant(s) therefore request(s) that the attached application NOT be published under 35 U.S.C. §122(b).

RECEIVED
APR - 9 2002
TC 2800 MAIL ROOM

- ☐ Incorporation by Reference:
- ☐ The entire disclosure of the prior application, from which a copy of the combined Declaration and Power of Attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.
- ☐ Deletion of Inventors (37 C.F.R. §1.63(d) and §1.33(b))
Signed statement attached deleting inventor(s) named in the prior application serial no. _____, filed _____.
- ☐ Microfiche Computer Program (Appendix)
- ☐ page(s) of Sequence Listing
- ☐ computer readable disk containing Sequence Listing
- ☐ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same
- ☒ **Assignment Papers (assignment cover sheet and assignment documents)**
- ☒ **A check in the amount of \$40.00 for recording the Assignment**
- ☐ Charge the Assignment Recordation Fee to Deposit Account No. 13-4500, Order No. _____.
- ☐ Assignment Papers filed in the parent application Serial No. _____
- ☒ **Executed Associate Power of Attorney**
- ☐ Certification of chain of title pursuant to 37 C.F.R. §3.73(b)
- ☐ Priority is claimed under 35 U.S.C. §119 for:
Application No(s). _____, filed _____, in _____ (country).
- ☐ Certified Copy of Priority Document(s) [_____]
- ☐ filed herewith
- ☐ filed in application Serial No. _____, filed _____.
- ☐ English translation document(s) [_____]
- ☐ filed herewith
- ☐ filed in application Serial No. _____, filed _____.
- ☐ Priority is claimed under 35 U.S.C. §119(e) for:
Provisional Application No. _____, filed _____.

- ☐ Information Disclosure Statement
- ☐ Copy of [_____] cited references
- ☐ PTO Form-1449
- ☐ References cited in parent application Serial No. _____, filed _____.
- ☐ Related Case Statement under 37 C.F.R. §1.98(a)(2)(iii)
- ☐ A copy of related pending U.S. Application(s) Serial No(s): _____, filed _____, respectively, is attached hereto.
- ☐ A copy of related pending U.S. Application(s) entitled, _____, filed _____ to inventor(s) _____, respectively, is attached hereto.
- ☐ A copy of each related application(s) was submitted in parent application serial no. _____, filed _____.
- ☐ Preliminary Amendment
- ☒ **Return receipt postcard (MPEP 503)**
- ☐ This is a ☐ continuation ☐ divisional ☐ continuation-in-part of prior application serial no. _____, filed _____, to which priority under 35 U.S.C. §120 is claimed.
- ☐ Cancel in this application original claims _____ of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application).
- ☐ The status of the parent application is as follows:
- ☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until _____.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☐ No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the parent application to this application
- ☐ Amend the specification by inserting before the first line the sentence:
This is ☐ continuation ☐ divisional ☐ continuation-in-part of co-pending application Serial No. _____, filed _____.

I. CALCULATION OF APPLICATION FEE				
	Number Filed	Number Extra	Rate	Basic Fee \$710.00/355.00
Total Claims	34- 20 =	14x	\$18.00/ \$9.00	\$126.00
Independent Claims	19- 3 =	16x	\$80.00/ \$40.00	\$640.00
<input checked="" type="checkbox"/> Multiple Dependent Claims		If marked, add fee of \$270.00 (\$135.00)		\$135.00
TOTAL:				\$1256.00

- ☒ Small entity status is or has been claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith \$1,256.00
- ☒ A check in the amount of \$1,256.00 in payment of the application filing fees is attached.
- ☐ Charge fee to Deposit Account No. 13-4500, Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency with the parent application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4024-4021. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: June 28, 2001

By: _____

Richard Straussman
Registration No. 39,847

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053
(212) 758-4800 Telephone
(212) 751-6849 Facsimile